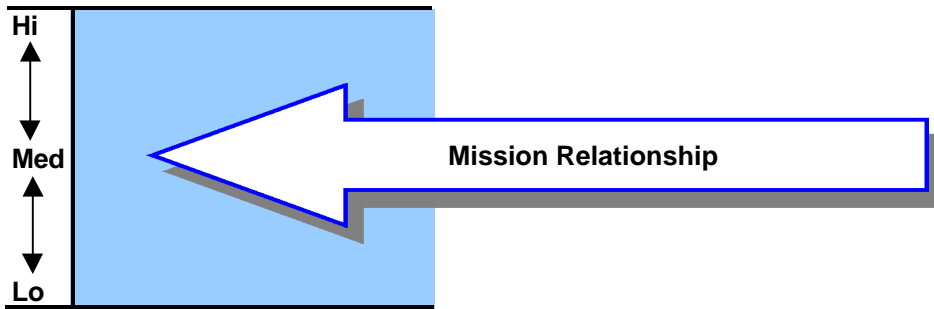


## Evaluation of Mission

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**Objective:** Maximize the relationship between the investment and the mission.



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### Review the Following Materials Related to Mission and Performance Measures

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Agency Mission Statement

Statement of Project/System Purpose and Business Case

Strategic Plan Goals/Strategic Plan Performance Measures and Indicators

Results of I-TIPS Scoring

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### Mission Evaluation Factors

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How does the investment support or influence mission effectiveness?

Do the performance measures reflect the effectiveness of the investment to achieve mission goals?

### Rating Award Basis

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5

Award this rating if there is a direct and influential relationship between the investment and the mission, and if the performance measures reflect the ability to directly affect and influence the achievement of mission goals.

4

Award this rating if there is an indirect or support relationship between the investment and the mission, and if the performance measures reflect an indirect ability to positively affect and influence mission goals

3

Award this rating if there is a direct and influential relationship between the investment and the mission, but the performance measures are not well developed enough to determine how the investment would contribute to the achievement of mission goals.

2

Award this rating if there is an indirect or support relationship between the investment and the mission, but the performance measures are not well developed enough to determine how the investment would contribute to the achievement of mission goals.

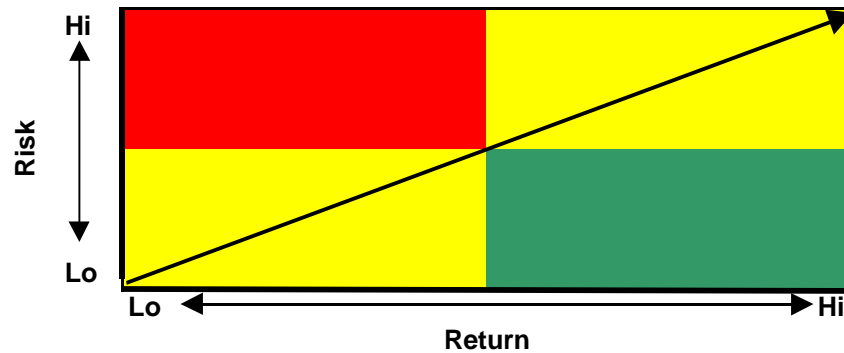
1

Award this rating if the relationship between the investment and the mission is not clear, or if there are no developed performance measures.

## Evaluation of Risk

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**Objective: Maximize Return and Minimize Risk**



### Some Examples of Different Types of Risk

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Project Costs, Size, or Resource Requirements

Technical

Organization/Project Management

Contract/Acquisition

Strategic/Business Impact

Implementation

Security

Change Management

Management

Human Element

Economic/Financial

### Risk Evaluation Factors

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Is there a comprehensive Risk Management Plan in place?

Are the appropriate risks identified, quantified, evaluated, and mitigated?

#### Rating Award Basis

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5

Award this rating if there is a comprehensive Risk Management Plan in place, and all the appropriate risks are identified, quantified, evaluated, and mitigated.

4

Award this rating if there is a Risk Management Plan in place, but not all of the risks are identified, and the omissions are minor, and the risk mitigation strategies address the critical areas.

3

Award this rating if there is a Risk Management Plan in place, but not all of the risks are identified, and some of the mitigation strategies are suspect.

2

Award this rating if only token attention has been paid to risk, or if the Risk Management Plan is poorly developed.

1

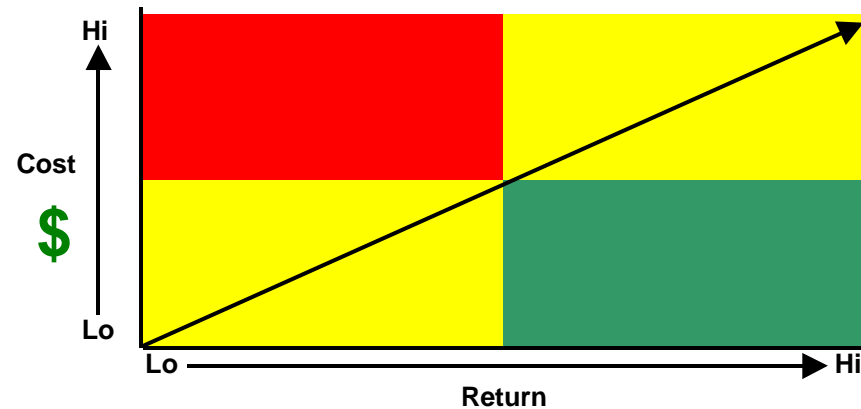
Award this rating if there is no Risk Management Plan in place.

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## Evaluation of Return on Investment (ROI)

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Objective: Maximize the Return, Minimize the Investment Cost



### Examples of Return-On-Investment Measures

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Benefit/Cost Analysis

Net Present Value

Return on Investment Calculations

Internal Rate of Return

Non-quantitative Benefits (Intangibles)

Discounted Payback Period

Discounted Simple Return-On-Investment

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### Return on Investment Evaluation Factors

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Has the agency addressed and computed all the quantitative and non-quantitative measures to determine their overall Return-On-Investment?

Do the measures used indicate that the investment will provide a justifiable Return-On-Investment relative to the investment level?

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### Rating Award Basis

---

5

Award this rating if all the ROI measures were addressed and computed, and if they indicate a potential high return on investment.

4

Award this rating if most of the ROI measures were addressed, and if they indicate a potential good return on investment.

3

Award this rating if some ROI measures were used, and if they indicate a potential reasonable return on investment.

2

Award this rating if few or no ROI measures were used, or if they indicate a potential poor return on investment.

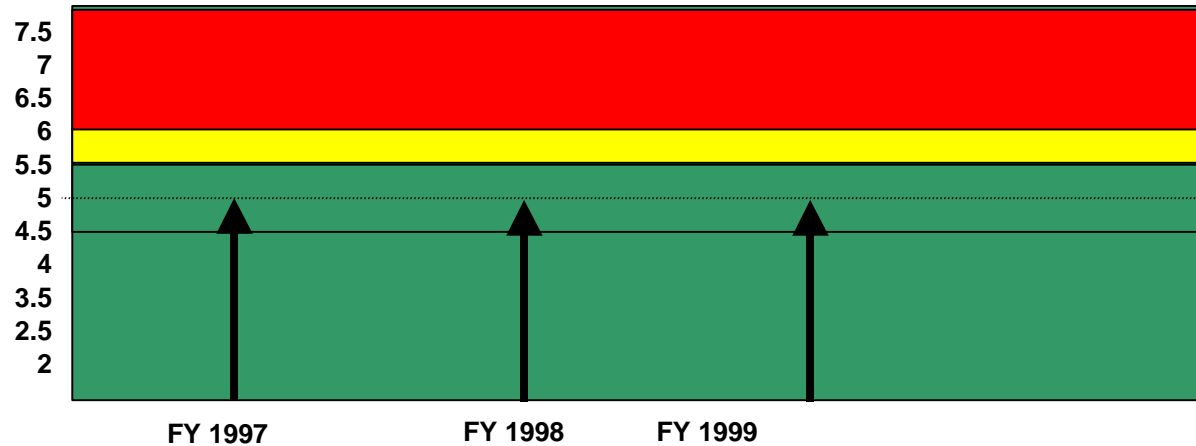
1

Award this rating if no ROI measures were prepared.

## Evaluation of Cost

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### Objective: Cost Control



In the example to the left, assume a baseline funding level of \$5.0 million for FY 1997, 1998, and 1999. With good cost control discipline, these costs could be controlled within a variance of +/-10% of this level, or between \$4.5 million and \$5.5 million. A 20% variance would be between \$4.0 million and \$6.0 million.

### Cost Control Considerations

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Cost baseline budget estimates or projections. Revised cost estimates.

Actual expenditure history and variance.

Management actions based on actual versus projected cost experience

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### Cost Evaluation Factors

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How well are budgeted and actual costs accounted for, controlled, and managed?

Are cost variances computed? Are they used to monitor how well the investment is proceeding relative to its cost estimates? Are they used as a management tool?

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### Rating Award Basis

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5

Award this rating if costs are appropriately accounted for, controlled, and managed, and if the original cost estimate has been met.

4

Award this rating if costs are appropriately accounted for, controlled, and managed, and if the cost variance is within 10% cost variance of the original estimates.

3

Award this rating if costs are appropriately accounted for, controlled, and managed, and if the cost variance is within 20% of the original estimates.

2

Award this rating if costs are not appropriately accounted for, controlled, and managed, or if the cost variance is beyond 25% of the original estimate.

1

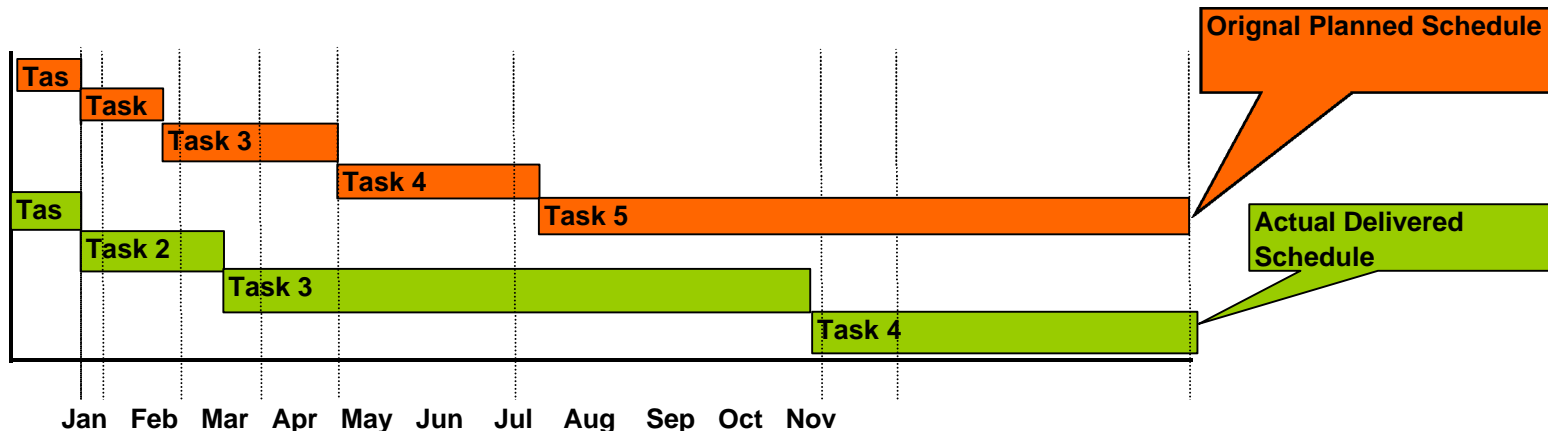
Award this rating if costs are not appropriately accounted for, controlled, and managed, or if cost variance are not calculated, or if costs are beyond 50% of the original estimates.



## Evaluation of Schedule

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Objective: Deploy and deliver the initiative on time.



### Review the Following Materials

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Baseline project plans, timelines, milestone, or Gantt charts

Actual historical experience relative to the schedule for deployment implementation, and operation

Strategic and/or tactical plans

Record of management actions taken

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### Schedule Evaluation Factors

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How well has the deployment of the initiative adhered to its original project schedule?

Are schedule slippages being properly managed?

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### Rating Award Basis

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5

Award this rating if the original schedule has been met.

4

Award this rating if the original schedule has been closely adhered to and any schedule slippages are within 10% of original baseline.

3

Award this rating if the project is within 20% of the original schedule and any schedule slippages have been properly managed.

2

Award this rating if the project is delayed more than 20%, but less than 50% of the original schedule, or if schedule slippages have not been properly managed.

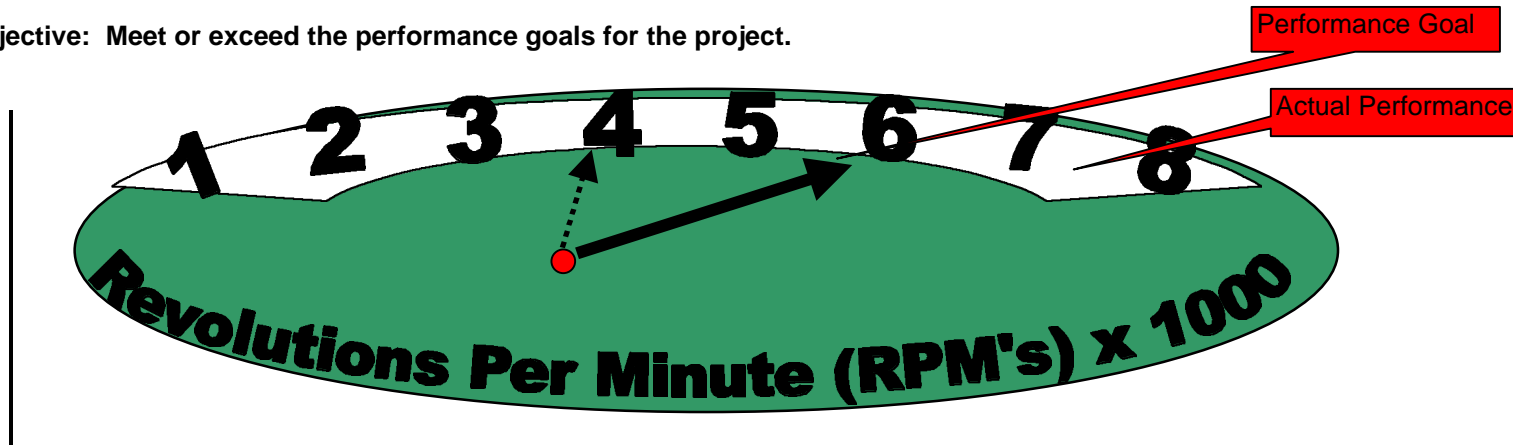
1

Award this rating if the project is delayed beyond 50% of the original schedule or if schedule slippages have not been properly managed.

## Evaluation of Performance

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**Objective:** Meet or exceed the performance goals for the project.



## Performance Considerations

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Original baseline performance design goals

Performance measures, indicators, or other metrics

Reports on progress towards meeting original baseline design goals or performance measures or indicators

## Performance Evaluation Factors

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How well has the agency done in identifying original baseline goals?

How well has the agency done in identifying performance measures and indicators?

How well has the agency done in reporting progress in attaining their baseline goals or attaining their targets for performance measures and indicators?

How meaningful are the identified baseline performance goals and the performance measures and indicators in measuring the "value" of the investment to the supported program?

### Rating Award Basis

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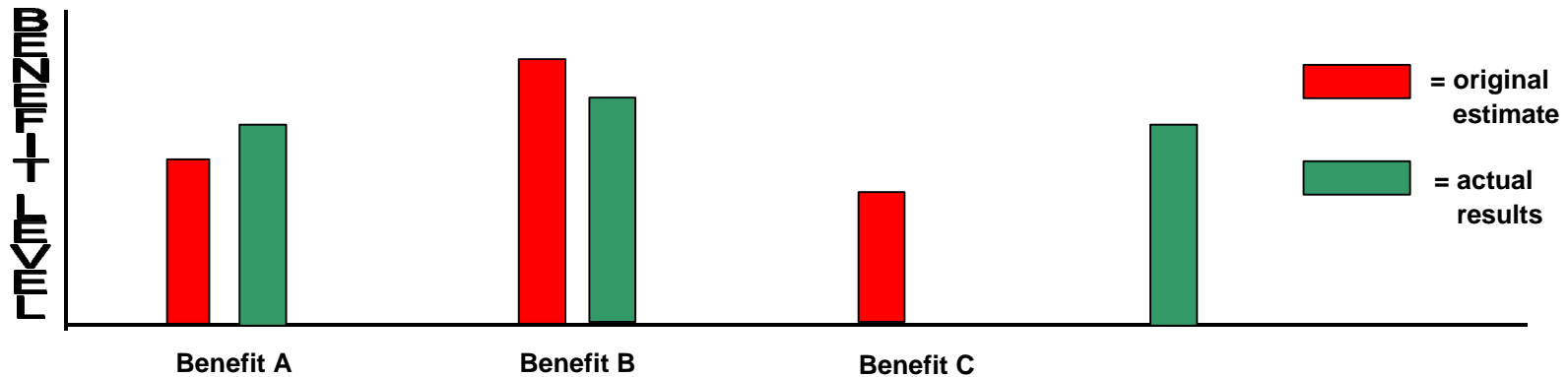
- 5** Award this rating if the agency has done a commendable job at identifying both original baseline performance goals and performance measures and indicators, and that the reports indicate full attainment of the original performance goals and their related performance measures and indicators.
- 4** Award this rating if the agency has done a commendable job at identifying both baseline performance goals and performance measures and indicators, and that they report achieving within 10% of the original design goals/measures/indicators.
- 3** Award this rating if the agency has done a fair job at identifying baseline performance goals and performance measures and indicators, and that they report achieving within 20% of the original design goals/measures/indicators.
- 2** Award this rating if the agency has done a fair job at identifying baseline performance goals, but the performance measures and indicators are lacking in specificity, and progress towards these goals/measures/indicators are not well tracked
- 1** Award this rating if the agency has done a poor job at identifying either baseline performance goals or performance measures and indicators, or if unsatisfactory progress has been made towards achieving those goals and measures, or if they are not appropriately tracked.

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### Evaluation of Post-Implementation Reviews

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**Objective:** How well has the project delivered the original baseline benefits or expectations.



A Post-Implementation Review (PIR) is a comprehensive look at how well the project has performed after it is in full operation. The areas of study should include cost, schedule, and performance, as well as user satisfaction and contribution to the mission. The PIR should be used by management to determine the future direction of the project, as well as to apply lessons learned back to the Select and Control phases of Capital Planning.

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### Post-Implementation Review Considerations

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Post-Implementation-Review documents

Management actions based on post-implementation review activities

### **Post-Implementation Review Evaluatuation Factors**

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How well has the agency done at conducting post-implementation reviews and of documenting the progress towards achieving the original goals, benefits, and expectations?

How well has management done at using the results of those reviews as the basis for taking the appropriate management action on the investment and the investment process?

### **Rating Award Basis**

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**5**

Award this rating if the agency has done a commendable job at conducting post-implementation reviews, and if those reviews report attainment of the goals, benefits, and expectations that were originally envisioned for the project, and if those reviews have been used by management to assess the project and the process, and taken appropriate actions.

**4**

Award this rating if the agency has done a commendable job at conducting post-implementation reviews, and if the review report attainment of the majority of the goals, benefits, and expectations that were originally envisioned for the project and if those reviews have been used by management to assess the project and take appropriate actions on the investment and the investment process.

**3**

Award this rating if the agency has done a fair job at conducting post-implementation reviews, and if the reviews results were used to determine appropriate changes to the investment.

**2**

Award this rating if the agency has made some effort to conduct post-implementation reviews, but the results do not clearly indicate progress toward attainment of goals, benefits, and expectations, or they were not used to manage the investment.

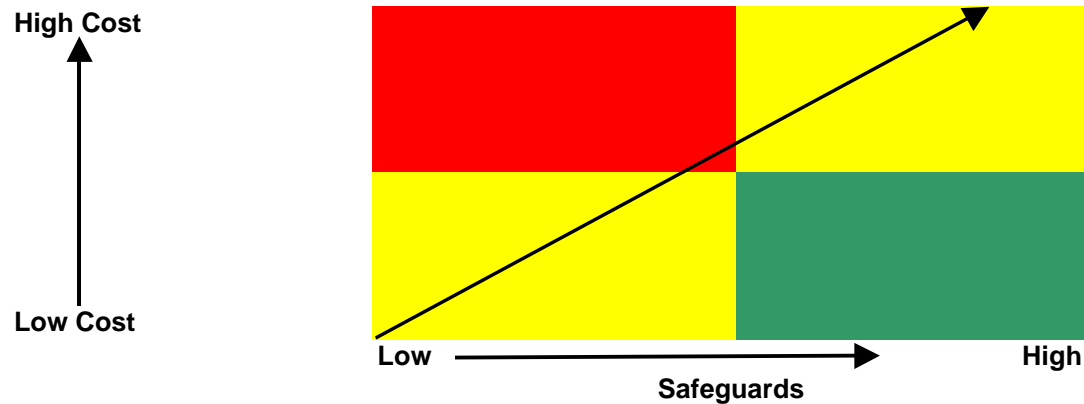
**1**

Award this rating if the agency has not conducted post-implementation reviews.

## Evaluation of Security

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**Objective:** To protect the availability, confidentiality and integrity of system assets by maximizing security safeguards and performance, while controlling security costs.



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### Elements of Security Protection

<b>Select Phase:</b>	Security Analysis Risk assessment/Mitigation
<b>Control Phase:</b>	Security Cost Performance Goals
<b>Evaluation Phase:</b>	Security Post Implementation Review

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### Security Evaluation Factors

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<b>Select Phase:</b>	Has a comprehensive security analysis been conducted? Are security risks identified and mitigation strategies proposed?
<b>Control Phase:</b>	Have estimated security costs been compared to actual costs? Are the estimated and actual costs inline? Have security goals and measures been established and met?
<b>Evaluation Phase:</b>	Is the system security functioning as anticipated? Are additional security countermeasures needed to protect assets?

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### Rating Award Basis

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**Select Phase:**

<b>5</b>	Comprehensive security analysis done, appropriate risks identified, mitigation strategies sound, security cost accurate, security complements departmental architecture
<b>4</b>	Comprehensive security analysis done, appropriate risks identified, mitigation strategies sound, security cost accurate, security complements departmental architecture
<b>3</b>	Comprehensive security analysis done with minor omissions, most but not all risks identified, some mitigation strategies suspect, security costs accurate, security complements departmental architecture
<b>2</b>	Security analysis has been done with major omissions, risk assessment/mitigations strategies inadequate, cost data is incomplete, security does not complement departmental architecture
<b>1</b>	Security analysis has not been done, risks and mitigation strategies are not identified, cost data not accurate, security does not complement departmental architecture



**Control Phase:**

5

Security costs are appropriately accounted for, controlled, managed, original cost estimate is accurate, detailed performance goals/measures established

4

Security costs are appropriately accounted for, controlled, managed, cost variance is within 10% of original estimates, detailed performance goals/measures established

3

Security costs are appropriately accounted for, controlled, managed, cost variance is within 20% of original estimates, reasonable performance goals/measures established

2

Security costs are not appropriately accounted for, controlled, or managed and cost variance is beyond 25% of original estimates, reasonable performance goals/measures have been established

1

Security costs are not appropriately accounted for, controlled, managed, and cost variance is beyond 50% of original estimates, reasonable performance goals/measures have not been established

**Evaluation Phase:**

5

Agency has done a commendable job in conducting the post-implementation security reviews, results confirm attainment of the goals, benefits and expectations for the project

4

Agency has done a commendable job in conducting the post-implementation security reviews, results were used to determine appropriate changes to investment process and to take remedial actions on project

3

Agency has done an average job in conducting the post-implementation security reviews, results used to assess the desired goals/benefits/expectations of project, changes made in investment process, remedial actions taken on project

2

Agency has made some effort to conduct post-implementation security reviews, results have not had sufficient impact on the project or investment process

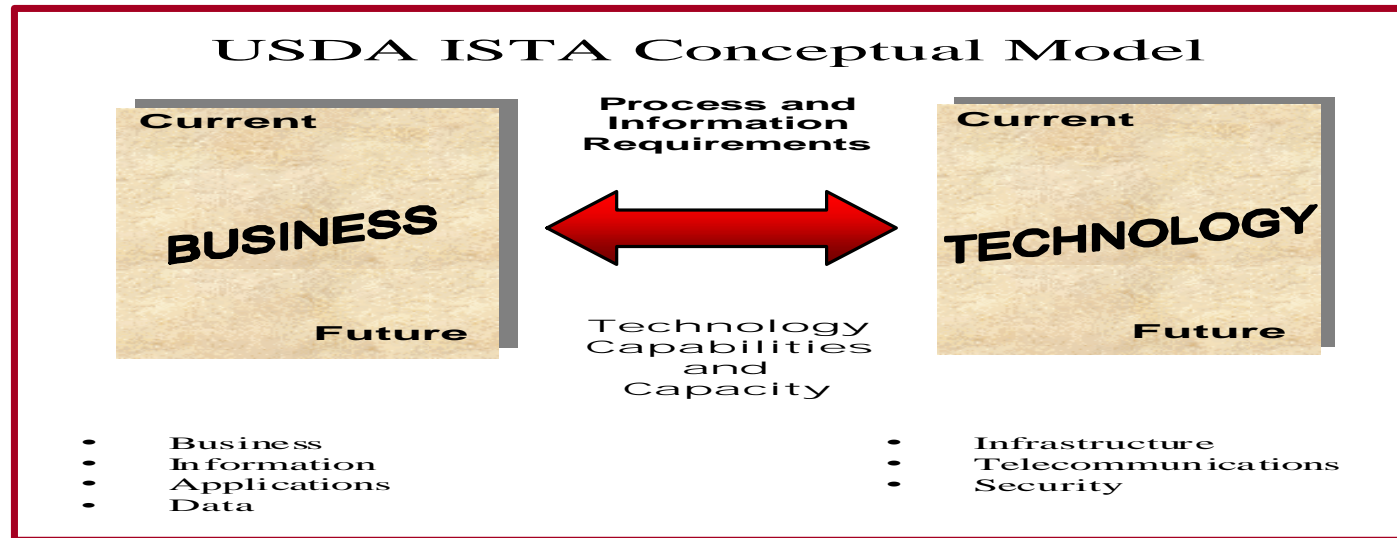
1

Agency has not performed any post implementation security review, or results werenot documented and have not had sufficient impact on the project or investment process

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## Evaluation of Enterprise Architecture

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### Enterprise Architecture: Elements of Business/Technology Infrastructure Alignment

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The investment adheres to the EA principles and standards; and the EA future direction.

Opportunities for data, information, and technology infrastructure sharing to reduce duplication, and the steps needed to accommodate these opportunities are identified.

Hardware and software acquisitions make use of commercial-off-the-shelf (COTS) products.

Robust management processes are identified to support, maintain, and refresh the investment; and to train users and systems support staff.

### **Evaluation Factors for Enterprise Architecture (EA)**

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Does this investment conform to the EA goals and objectives (interoperability, resource sharing, potential for reduced costs, sharing processes and information, and timely and comprehensive support for managers); and comply with the current EA principles and standards?

Is a credible migration plan (for data, applications, and legacy system phase-out) from the existing to the proposed environment presented?

Are detailed management plans in place describing how this investment will be supported, maintained, and refreshed to ensure its currency and continued effectiveness, including a training and awareness plan for users and technical staff?

Is an asset management process(es) in place to inventory and manage this new asset (investment) from a property management perspective, to provide configuration management support, and to monitor system performance?

### Rating Award Basis

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5

Award this score if all of the EA goals, objectives, principles, and standards have been met; and if all required plans and processes are in place or substantially near completion and scheduled for implementation.

4

Award this score if the EA goals, objectives, principles, and standards have been largely met; and any exception to the EA goals, objectives, principles, and standards is clearly identified and documented with a strong business needs driven justification and an assessment of impact on the EA attributable to the exception. Further, the required plans and processes are in place or near completion and scheduled for implementation.

3

Award this score if the EA goals, objectives, principles, and standards have been reasonably met; and exceptions to the EA goals, objectives, principles, and standards are clearly identified and documented with a good business needs driven justification and an reasonable assessment of impact on the EA attributable to the exceptions. Further, the required plans and processes are under development and near completion and scheduled for implementation.

2

Award this score if the EA goals, objectives, principles, and standards have been only met in part; and that exceptions to the EA goals, objectives, principles, and standards are not clearly identified nor documented with a good business needs driven justification nor a good assessment of impact on the EA attributable to the exceptions. Further, the required plans and processes are incomplete and with no definitive schedule for implementation.

1

Award this score if the EA goals, objectives, principles, and standards have been ignored or only met in a limited way; and that exceptions to the EA goals, objectives, principles, and standards are only vaguely identified or not addressed, nor documented with any business needs driven justification nor any assessment of impact on the EA attributable to the exceptions. Further, the required plans and processes are incomplete or non-existent, and with no schedule for implementation.



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### Evaluation of Secretarial/Administration Priorities

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**Objective:** Give extra consideration to those project that directly support the announced priority initiatives of the Secretary or the Administration.



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### Secretarial/Administration Priority Considerations

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Policy statements by the Secretary and Under and Assistant Secretaries

Department/Administration budget priorities

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### Rating Award Basis

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Award this bonus point if the investment supports a Secretarial or Administration priority, or is an acknowledged budget priority.



Make no award if the investment does not support a Secretarial or Administration priority, or is not an acknowledged budget priority.

































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